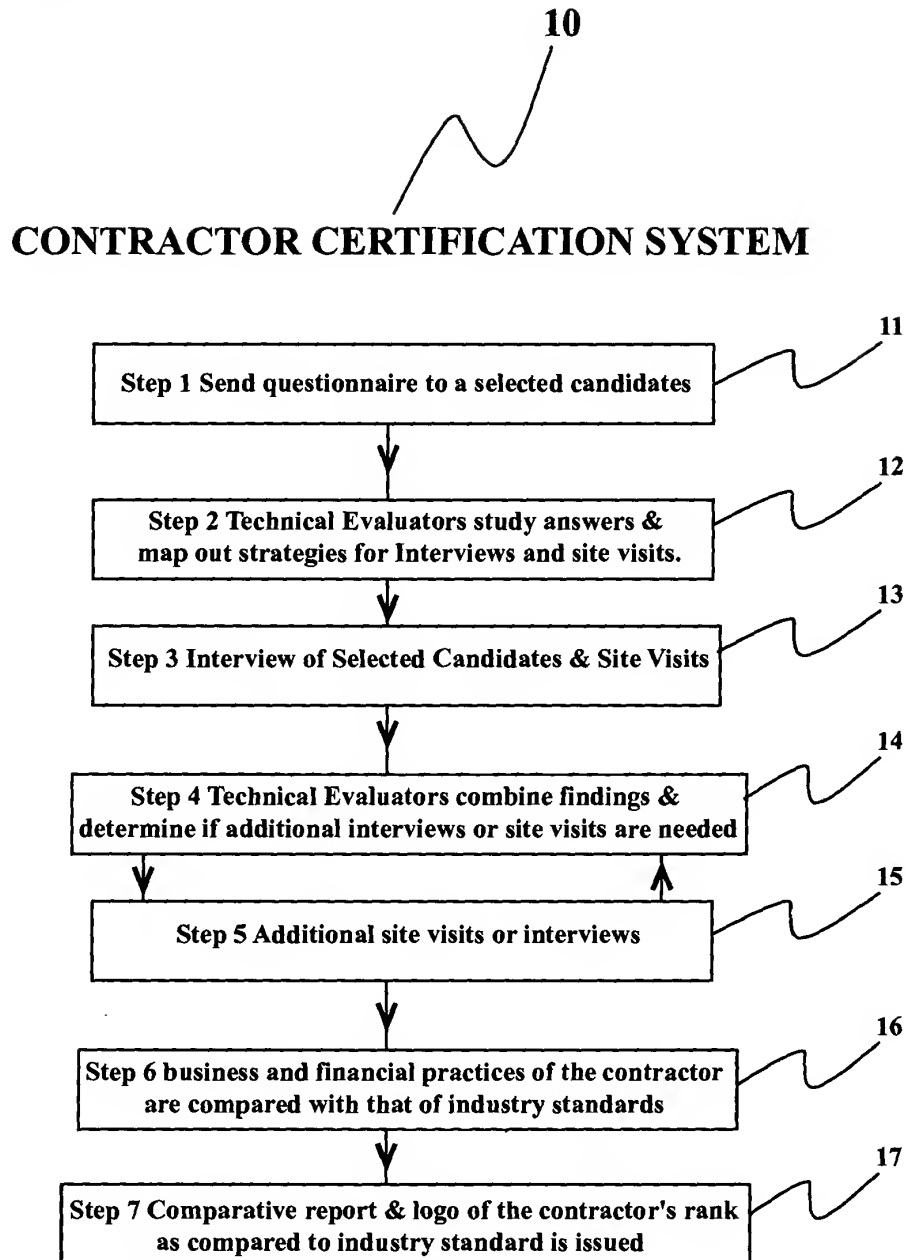


**Fig. 1.**



**Fig. 2.**

Construction Risk Technology			
TECH CERT General Contractor Assessment			
Necessary Pre-Meeting information to be provided by the contractor			
Annual Revenue Circle One \$5M>\$25M \$26M>\$100M \$101M>\$250M \$251M>\$750M >\$750tk			
<b>A. ORGANIZATION</b>			
<u>1. Organizational Structure</u>			
	a. Type	1) Sole Proprietor[ ] 2) Sub Chapter[ ] 3) Corporation [ ]	
	b. District Offices	1) Yes[ ] 2) No[ ]	
Oper Hi..Lo	c. Operating States		
Org Hi..Lo	d. Mission Statement	1) Yes[ ] 2) No[ ] 3) How practiced	
<u>2. Management Reporting (Internal)</u>			
Opr	a. Organizational priorities:	1) estimating 2) operations 3) accounting (Where does Senior Mgm't get most of their pre-decision information?)	
	b. Concerns: i.e. Organizational breakdowns, over reliance, etc.)		
	1) Have there been any organizational areas that need improvement	(a) No[ ]	
<u>3. Authority/Approvals</u>			
Sr.Mgmt	a. Plan giving authority	1) Yes[ ] 2) No[ ]	\$ Limits
Sr.Mgmt	b. Changes w/o CEO approval	1) Yes[ ] 2) No[ ]	
Sr.Mgmt	c. Delegations:	1) Estimating [ ] 2) Buyout [ ] 3) Operations [ ]	
	d. Hiring/Firing: Who has the authority, when can it be exercised?		
	e. Employee Handbook	1) Yes[ ] 2) No[ ]	
<u>4. Internal Communications (Providing information/Data Exchange)</u>			
Val/Imp	a. Field Operations		
	1) With Financial	How often (a) daily [ ] (b) weekly [ ] (c) biweekly [ ]	
	2) With CEO	How often (a) daily [ ] (b) weekly [ ] (c) biweekly [ ]	
Val/Imp	b. Financial		
	1) With Operations	How often (a) daily [ ] (b) weekly [ ] (c) biweekly [ ]	
	2) With CEO	How often (a) daily [ ] (b) weekly [ ] (c) biweekly [ ]	
Val/Imp	c. Formal Transfer of Information	1) Yes[ ] 2) No[ ]	
	3) Define Methodology		
<u>5. Management Responsibilities</u>			
People	a. Training Program	1) Yes[ ] 2) No[ ]	
	1) In-House	a) Yes [ ] b) No [ ]	
	2) Association	a) Yes [ ] b) No [ ]	c) Assoc _____
	3) Subjects covered:		
	4) Training of Field Personnel	a) By Whom	
Opr	b. Safety		
	1) Person Responsible	a) Field b) HO [ ]	
Val/Imp	2) Job site Postings	a) Yes [ ] b) No [ ]	
Val/Imp	3) Manual	a) Last Revision b) Date _____	
Val/Imp	4) Accident Reporting Forms	a) Yes [ ] b) No [ ]	
	5) Outline Procedure		
People	c. Labor Mgm't		
	1) Policies on	a) Drug Testing [ ] b) Sexual Harassment [ ] c) Prior Injuries [ ]	
		d) Family leave [ ] e) Background Checks [ ] f) Travel [ ]	
	2). Workers Compensation	a) W/C Mod Rate b) [ ] %	

**Fig. 3a.**

**Construction Risk Technology**

**B. CAPACITY**

**1. PROJECT INFORMATION**

**a. Marketing**

- Opr 1) Markets a) Public \_\_\_% b) Private \_\_\_% c) Size \$ \_\_\_M  
Opr 2) Marketing Philosophy  
a) Solicitation 1) Internal 1) Yes[] 2) No[]  
2) By whom a) Paid Commission 1) Yes[] 2) No[]  
Opr 3) Green sheets 1) Yes[] 2) No[]  
a) Select Bid List 1) Yes[] 2) No[]

**b. Market Qualification**

- Val/Imp 1) How are job's qualified for bidding? 2) Have Strategy 1) Yes[] 2) No[]  
Val/Imp 2) Criteria- What makes the Difference a) Size b) Location c) PM (available)  
Val/Imp 3) Necessary to have Manpower a) Yes[] b) No[] c) Obtainable []  
4) Historic Workload a) Largest Single Project w/I 2 yrs  
b) Largest Gross Revenue w/I 2 yrs \$ \_\_\_\_\_  
b) Lowest Gross Revenue w/I 2 yrs \$ \_\_\_\_\_  
Val/Imp 5) Owner Validation a) Contract Review b) Financial c) Prior Projects

**c. Estimating**

- Val/Imp 1) Estimating Practices a) Personnel b) # Full Time  
a) Process for updating costs information (explain)  
b) Review before submission (Checks & Balances) (explain)  
People c) By whom 1) Error/ correction procedures  
d) Quotes required per trade (1) #  
e) Bid Spreads (1) Are Significant >5% checked (2) By Whom  
People f) Who decides 'GO or NO GO'? (1) \_\_\_\_\_ (2) Success Ratio  
(3) (# bid/ Win's) (4) \_\_\_\_\_%  
System 2) Job Costing (a) Last Update \_\_\_ b) Normal Practice c) Monthly [ ] d) Weekly [ ]  
(e) By whom (1) Internal [ ] (2) External [ ] (3) Owner, GC, Other  
[ ]  
(4) Who can move costs between jobs (a) (Explain)

Val/Imp 3) Job Buy Out

- (a) Methodology (b) (explain)  
(c) Checks and Balance (d) (explain)  
(e) Sub/ Supplier (f) (explain) (g) Problems

4) Statutory Compliance

- a) Equal Employment Opportunity etc.  
b) Safety  
(i) Job site (ii) Postings (iii) Yes [ ] (iv) No [ ]  
c) Accident Reporting (i) Outline Procedure  
d) Forms (i) Yes [ ] (ii) No [ ]

5) OSHA

- (a) Penalty History (b) Citations (c) # [ ] (d) Courtesy Inspections (e) Yes [ ] (f)  
No [ ] (g) How often

**Fig. 3b.**

Construction Risk Technology			
<b>B. CAPACITY (contd)</b>			
<b>2. CURRENT PROJECTS</b>			
<b>a. Location of Current work</b>			
1) State(s) _____	2) Distance from HO _____	3) Miles [ ]	
4) Type _____	5) Structure _____	6) Utility _____	
7) Size _____	8) Compared to past 3 yrs _____	9) % Increase [ ]	
10) Duration _____	11) Average _____ Months	12) Longest Single _____ Months	
<b>b. WIP Schedule</b>		<b>a. DATE _____</b>	
1) Over billed (Project) _____	2) (reason) _____		
a) Use of funds _____	b) Liquidity _____		
3) Under billed (Project) _____	4) (reason) _____		
a) Owner problem _____	b) Architect problem _____	c) Claim _____	
d) Historic success in collecting _____	e) _____ %		
<b>c. Gross Margins</b>			
1) Consistency on completed jobs _____	2) _____ %	3) (we can track this) _____	
4) Consistency on open work _____	5) _____ %		
<b>Adm</b>			
<b>d. Job Close Out</b>			
1) Timely job close out _____ (days)			
a) Delayed close out pat completion date _____ Months			
<b>e. Warranty work</b>			
1) Self performed _____			
2) _____ %			
<b>f. Profit Slippage</b>			
before 65% [ ]      Later than 65% [ ]			
Val/Imp 1) Action Plan for job/ profit slippage _____			
Val/Imp People a) Project Isolation (1) Yes [ ]      (2) No [ ]			
Val/Imp People b) Sub's problem (1) Default (i) Yes [ ]      (ii) No [ ]			
(2) Finance (i) Yes [ ]      (ii) No [ ]			
(2) Sub Bonded (i) Yes [ ]      (ii) No [ ]			
Val/Imp c) Other Action (explain) _____			
Val/Imp People d) Project Management change (1) Experience _____			
Sr. Mgmt involvement (1) Yes [ ]      (2) No [ ]      (3) Depends [ ]			
]      BEST SOLUTION (EXPLAIN) _____			
<b>g. Project Losses</b>			
a) Disclose your surety (1) Never [ ]      (2) Depends [ ]			
b) (at what level) (1) Company person      Local [ ]      National [ ]      (2) Agent [ ]			
<b>3. OPERATIONAL PERSONNEL</b>			
a. Project Managers 1) # _____ 2) Turnover _____ 3) Add [ ]      4) Lose [ ]			
b. Experience 1) Years as PM _____			
c. Time with company 1) Months _____ ) Years _____			
d. Training 1) Courses regularly given to employees (a) Yes [ ]      (b) No [ ]			
e. Are all EE's reviewed annually (1) Yes [ ]      (2) No [ ]			

**Fig. 3c.**

Construction Risk Technology									
<b>4. CONSTRUCTION SERVICES</b>									
<b>a. Scheduling</b>									
1) Provided	(1) Yes [ ]	(2) No [ ]	In house	(1) Yes [ ]	(2) No [ ]				
Systems Val/Imp 2) How often	All jobs [ ]	Some [ ]	_____ %						
Systems Val/Imp 3) Outsourced	(1) Yes [ ]	(2) No [ ]							
Systems Val/Imp 4) Loaded	Man-hour [ ]	Unit [ ]	\$Cost [ ]						
Systems Val/Imp 5) Updated	Monthly [ ]	Quarterly [ ]							
Systems Val/Imp 6) How schedule is controlled									
Systems Val/Imp 7) Equipment Utilized:	Primavera [ ]	Project Manager [ ]							
<b>b. Project Costing</b>									
Systems Val/Imp 1) Normal practice	Monthly [ ]	Weekly [ ]	Daily [ ]	Last update _____					
Systems Val/Imp 2) By whom	Internal [ ]	External [ ]	(Owner, GC, Other)						
Systems Val/Imp 3) Field Training on Costing	Yes [ ]	No [ ]							
Systems Val/Imp 4) Who can move costs between jobs	(Explain)								
<b>c. Project Supervision</b>									
Val/Imp 1) Coordination responsibility	On Site	Yes [ ]	No [ ]						
Val/Imp 2) Method utilized	(Explain)								
Val/Imp 3) Change Conditions	Reported timely								
Val/Imp 4) Crews knowledgeable about assignments	Yes [ ]	No [ ]							
Val/Imp 5) Diaries required	Yes [ ]	No [ ]							
<b>d. Project Administration</b>									
Val/Imp 1) Progress Payments	Prepared by	Field [ ]	HO [ ]						
Val/Imp 2) Sub's Payments	When paid?	Yes [ ]	No [ ]	# of days late _____					
Val/Imp 3) Project reviews	By whom	How often							
Val/Imp 4) Change Orders	Average per Project	[ ]	Processed by _____						
Val/Imp 5) RFI's	Average per Project	[ ]	Processed by _____						
Val/Imp 6) Claims	Average per Project [ ]	Value [\$ ]	Nature of claims (explain)						
<b>e. Mediation/ Arbitration (last 3 yrs)</b>									
Val/Imp Neg	Description	Person Responsible for preparation	# of claims [ ]	Won [ ]	Lost [ ]	Examine a file			
<b>f. Litigation (last 3 yrs)</b>									
Val/Imp Neg	Description	Attorney/ Firm	# of claims [ ]	Won [ ]	Lost [ ]	Examine a file			
<b>g. Jobsite Management</b>									
Val/Imp	Owner GC meetings								
	Attendee	How often	Weekly [ ]	Monthly [ ]					
	Meeting Minutes	Yes [ ]	No [ ]	Sent to HO	Yes [ ]	No [ ]			
Val/Imp	Training Program	Yes [ ]	No [ ]						
	In house	Yes [ ]	No [ ]						
	Association	Yes [ ]	No [ ]	Assoc _____					
Val/Imp	Safety Program								
	Person Responsible	Field [ ]	HO [ ]						
	Job site	Postings	Yes [ ]	No [ ]					
	Manual	Last Revision	(Date _____)						
	Accident reporting (onsite)	Forms	Yes [ ]	No [ ]					
	Procedure	Violation Notices	Yes [ ]	No [ ]					
	Tail gate meetings	Attendance Log	Yes [ ]	No [ ]					

Fig. 4a.

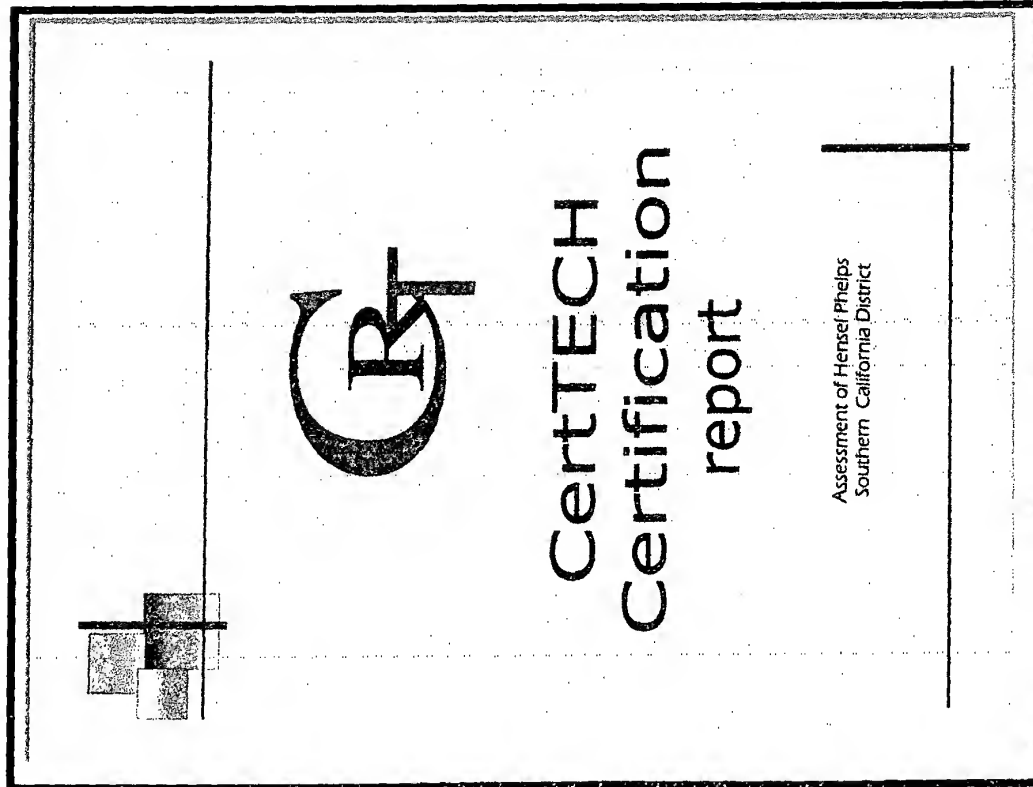


Fig. 4b.


 <b>Contractor Assessment</b>		Contractor: Hensel Phelps, So. CA District	Date: 6/9/03
<b>PROFILE</b>			
Specialty subspecialty	General Contractor		
Form of Organization	Concrete form, place finish		
HO Staff Size	5 Corp		
Union or Open Shop	120		
% of work subcontracted	Primarily Open Shop		
Operating area	77%		
Total volume Limit	Nationally		
Project Size	\$2.6 Billion		
Public/Market	\$500 Million		
Optimum # projects	51-75% volume		
Optimum project size	>20		
	>30 million		
<p>Primary emphasis is on budgeting, Multiple Subcontractor Bids, Cost Control Accounting, Project Management &amp; Staff, Subcontractor Relations, Heavy Staff &amp; Systems Reliance, Core Management &amp; Field Labor Group, Decentralized project management.</p> <p>Facilitator ID 516.</p>			
Total number of active projects			

Fig. 4c.

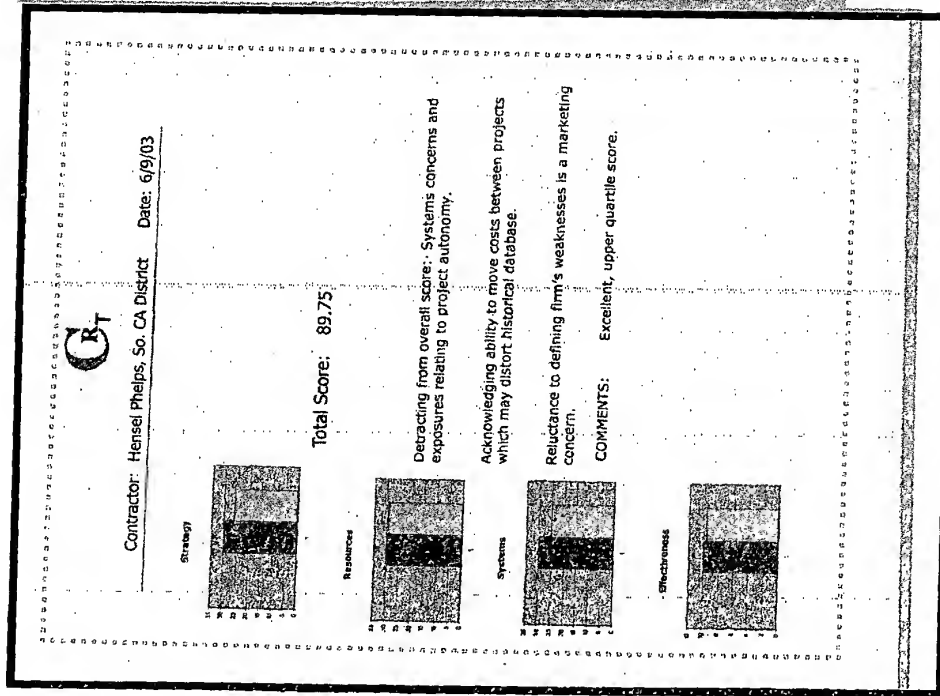
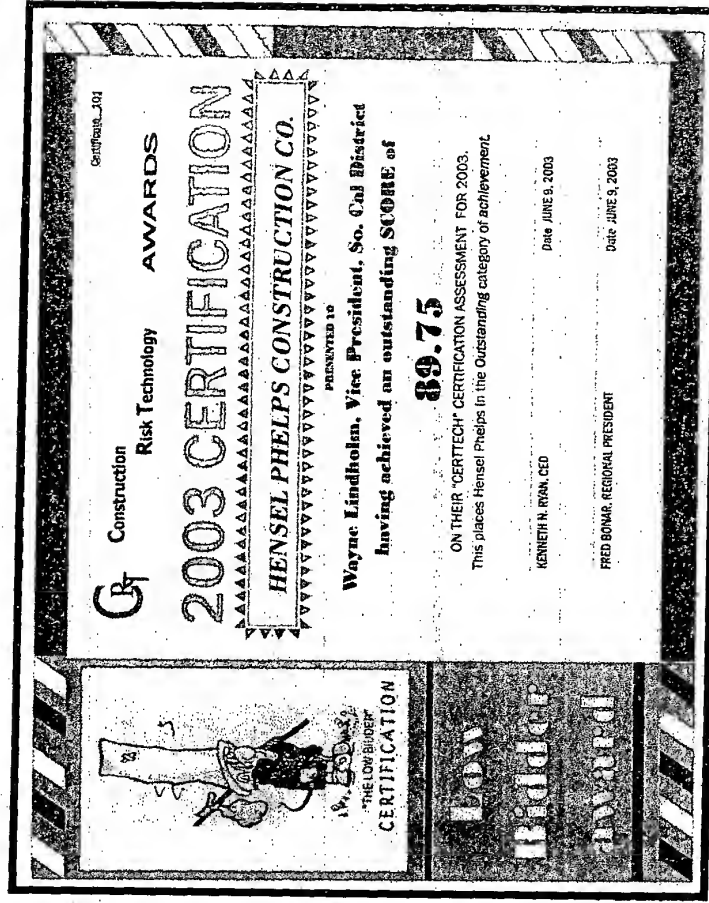


Fig. 4d.



**Fig. 5.**

**CERTIFICATION PROCESS**

